

APPENDIX A

LOW CARBON TRANSPORTATION AND FUELS INVESTMENTS AND THE AIR QUALITY IMPROVEMENT PROGRAM

**Fiscal Year 2016-17
Off-Road Advanced Technology Demonstration Projects**

APPLICATION

Mobile Source Control Division
California Air Resources Board
June 9, 2017



California Environmental Protection Agency

 **Air Resources Board**

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ADVANCED TECHNOLOGY DEMONSTRATION PROJECT APPLICATION

Please print clearly or type all information on this application.

1. Project: Click here to enter text.		
2. Company Name/Air District/Organization Name/Individual Name: Click here to enter text.		
3. Business Type: Click here to enter text.		
4. Contact Name and Title: Click here to enter text.		
5. Person with Contract Signing Authority (if different from above)/Air Pollution Control Officer (APCO): Click here to enter text.		
6. Mailing Address and Contact Information:		
Street: Click here to enter text.		
City: Click here to enter text.	State: Click here to enter text.	Zip Code: Click here to enter text.
Phone: (XXX) XXX-XXX		Fax: (XXX) XXX-XXX
Email: Click here to enter text.		
<input type="checkbox"/> I have read and understood the terms and conditions of the Sample Grant Agreement.		

I hereby certify under penalty of perjury that all information provided in this application and any attachments are true and correct.

Printed Name of Responsible Party or APCO: Click here to enter text.	Title: Click here to enter text.
Signature of Responsible Party or APCO:	Date:

Third Party Certification (if applicable)

I have completed the application, in whole or in part, on behalf of the applicant.

Printed Name of Third Party: Click here to enter text.	Title: Click here to enter text.
Signature of Third Party:	Date:
Amount Being Paid for Application Completion in Whole or Part: Click here to enter text.	Source of Funding to Third Party: Click here to enter text.

Attachment 1: PROJECT EXECUTIVE SUMMARY AND PROJECT SUMMARY FOR PUBLIC POSTING

Project Executive Summary

The Project Executive Summary must contain a summary of the proposed project that identifies:

- the name of the applicant,
- the project technology demonstrator(s),
- the project data collection and analysis provider,
- the project title,
- the objectives of the project,
- a description of the project,
- methods to be employed,
- technologies to be demonstrated,
- potential benefits and outcomes,
- major participants,
- total project cost,
- requested funding amount,
- match amounts proposed,
- cost-effectiveness,
- project location, and
- expected emission reductions in criteria, toxic, and GHG.

The rest of the proposal should provide more detail, further describing the information of the Project Executive Summary. Proprietary or sensitive business information must not be included, as applications may be made available to the public. The project summary must not exceed one page when printed using standard 8.5" by 11" paper with a minimum of 1" margins (top, bottom, left, and right) with font not smaller than 11 point.

Project Summary for Public Posting

The Project Summary for Public Posting is required for all competitive applications for Low Carbon Transportation GGRF funds and will be publically posted on CARB's website at least ten days before ARB preliminarily selects applications as Grantees. The Brief Project Summary for Public Posting must be no more than 500 words and must include:

- Project Name;
- Name of applicant and project partners;
- Brief description of proposed project including location (excluding personally identifiable information for any private individuals);
- Amount of funding requested;
- Total cost of project including requested funding amount and match amounts that are proposed;
- Expected emission reductions in criteria, toxic, and GHG; and
- Whether the project is expected to be located within or provide benefits to a disadvantaged community.

Please note that CARB may, in its sole discretion, modify the Project Summary for Public Posting to more accurately present the required project information as it is presented in the actual project application.

Attachment 2: PROJECT NARRATIVE AND WORK PLAN

The project narrative must separately address each of the scoring criteria requiring a response listed in the evaluation and scoring section of the solicitation. The first page of the project narrative must include the project's title, funding amount requested, applicant (public entity or non-profit organization), industry partner(s) that will act as the technology demonstrator(s) (if applicable), and end user(s). Partners are persons or organizations that will contribute resources to the project via cash, equipment/materials, facilities, or in-kind services. The project narrative must not exceed 15 pages when printed using standard 8.5" by 11" paper with a minimum of 1" margins (top, bottom, left and right) with font no smaller than 11 point. Do not include internet addresses (URLs) as a substitute to providing information necessary to review the application. Provide sufficient information so that reviewers will be able to evaluate the application in accordance with these scoring criteria.

The project narrative must contain affirmation that all parties participating in the demonstration have read the Sample Grant Agreement (Appendix B). The project narrative must demonstrate that the proposed project provides benefits to disadvantaged communities, as outlined in the Eligible Projects section of the Solicitation. Include the project's estimated reductions of GHG, criteria pollutant, and toxic air contaminant emissions (with supportive calculations included in Attachment 3). Describe any proposed use of existing infrastructure (e.g., electric vehicle supply equipment, hydrogen refueling stations, etc.) to support advanced technology project vehicles. Declare if the proposed project uses any equipment that has been funded with a public incentive program and state its incentive program status, as described in the Scope of Work section of the Solicitation. The project narrative must include a plan to ensure that emission reductions required by any incentive program's contract or grant are considered for the piece of equipment that is proposed to be used for the technology demonstration. Include a clear explanation of the steps required in the process for legal operations on California roadways, usage on port properties, rail yards, and other sites where on-road project-funded vehicles will be operated. Explain the steps that will be followed to accomplish required government certification and verification protocols where applicable. Both the project narrative and work plan must address how the applicant will implement all of the tasks in the proposed scope of work. Provide bibliographic citations for any references cited, including names of all authors, the article and journal title, book title, volume number, page numbers, and year of publication. Enclose with your application any documents (or pertinent excerpts) that you cite in support of performance claims in your project.

Work Plan

A detailed work plan needs to be included in the application package. The work plan should detail each specific task that is required to complete the demonstration project, as milestones, and the timing of each task that lead to the on-time completion of the demonstration project. Emission testing is a required element and must be included in the work plan.

The work plan should be in a format that shows a logical sequence of tasks with project deliverables easily identifiable. The Grantee and technology demonstrator will make available, at CARB's request, all information and data generated as part of the project that is described in the work plan and scope of work.

Sample Work Plan Format

- Task 9. Hybrid School Bus Emission Testing
The purpose of this task is to perform preliminary on-road emission testing on a demonstration hybrid school bus and collect fuel usage data.
- Task 9.1 *Hybrid School Bus Company* will install PEMS unit on school bus and verify that the PEMS is operating normally.
- Task 9.2 *Hybrid School Bus Company* will calibrate PEMS unit for on-road testing and perform on-road testing and evaluate results.
- Task 9.3 *Hybrid School Bus Company* will begin sampling of exhaust emissions and fuel usage using PEMS and on-board ECM.
- Task 9.4 *Hybrid School Bus Company* will collect emissions data from PEMS and fuel usage data from engines ECM.
- Task 9.5 *Hybrid School Bus Company* will evaluate emissions and fuel usage data and prepare report on emissions and fuel usage to Grantee

Deliverable Description: Emission and Fuel Usage Report

Deliverable Due Date: June 30, 2013

Attachment 3: EMISSION REDUCTIONS AND COST-EFFECTIVENESS CALCULATIONS

The applicant must use the methodology in Appendix D to determine emission reductions and cost-effectiveness of proposed projects and include the calculations and results here. All references and variables used that are not included in Appendix D must be cited and explained. All calculations and assumptions made must be shown clearly and in their entirety. SHOW ALL MATH used in calculations. Inaccurate calculations could result in disqualification.

The GHG emission reductions are to be based on life cycle analysis (well to wheel) and calculated in tons of CO₂ equivalent¹ reduced per year. Combined weighted criteria pollutant and PM emission reductions are to be based on exhaust emissions (tank to wheel) and calculated in tons reduced per year.

Four cost-effectiveness calculations are required as follows:

1. dollars per ton of GHG emissions (in CO₂ equivalent) reduced during the actual proposed project over a 2-year demonstration;
2. dollars per ton of GHG emissions (in CO₂ equivalent) reduced once deployed into the marketplace, one year post proposed demonstration and based on a 10-year vehicle/equipment useful life;
3. dollars per ton of combined criteria pollutant and weighted PM emissions reduced during the actual proposed project over a 2-year demonstration; and
4. dollars per ton of combined criteria pollutant and weighted PM emissions reduced once deployed into the marketplace, one year post proposed demonstration and based on a 10-year vehicle/equipment useful life.

¹ “CO₂ equivalent” means the number of metric tons of CO₂ emissions with the same global warming potential as one metric ton of another greenhouse gas.

Attachment 4: PROPOSED BUDGET, PROJECT MILESTONES AND DISBURSEMENT SCHEDULE

The Proposed Budget must include all proposed labor, material, equipment, and installation costs associated with the project, including:

1. requested administrative funds and description of any applicable commitments of cash or match funding for administrative expenses; and
2. requested project-related funds plus committed cash and in-kind match for:
 - a) production and/or provision of project vehicles and equipment; and
 - b) site preparation, construction and installation of associated infrastructure needed to support project vehicles and equipment.

The Solicitation has a Grantee cost share requirement of at least 25 percent of the total project cost, of which 10 percent must be cash committed by the project team. Please be as specific as possible when describing cash or in-kind match services (i.e., itemize staff time, equipment, consumables, or other costs that are being committed).

Cash match can include cash contributions to the project by the applicant or project partner; cash contributions from Federal, Local, and private sources; administrative and project-related labor expenses; and equipment, materials, and fuel purchased specifically for the project.

In-kind match refers to materials, equipment, and services provided by project partners and made available to the project (i.e., access to existing hydrogen fueling station, equipment transportation). In-kind match can also include funding from State sources such as AB 118 or GGRF.

The Project Milestones and Disbursement Schedule must follow the format described in Exhibit B Attachment II in the sample Grant Agreement (see Appendix B) and illustrated in the Sample Budget and Sample Project Milestones and Disbursement schedule later in this appendix. Milestones must be linked to specific tasks and deliverables detailed in the Project Scope of Work and Schedule (Exhibit B, Attachment III) and illustrated in the Sample Budget and Sample Project Milestones and Disbursement schedule later in this appendix. All disbursement amounts must be tied to a milestone; however, it is not necessary for every milestone to be paired with a disbursement request.

The following conditions apply to the proposed budget and the Project Milestones and Disbursement Schedule:

1. Administrative expenses, both match and grant funded, must be described as either time-and-materials with detailed labor rates, or described as a work product deliverable (i.e., quarterly report, project management plan, etc.).
2. Any labor rate adjustments must be included in the application budget detail for the entire project term. Labor rates may not be increased at any time from those identified in the application.
3. All project partners must participate in the development of the project budget and the Project Milestones and Disbursement Schedule, and agree to be bound by it for the duration of the project. Any expectation of cost of living increases or

increases in costs due to inflation or other reasons need to be included in the proposed project budget along with rationalization for any increases in proposed project costs. Regardless of any proposed increases in costs due to cost of living, inflation, or other reasons the total amount of funding for a proposed project will not be changed once the grant agreement is executed.

4. **All milestones are expense reimbursements. Expenses must be incurred before payment of grant funding. Purchase orders are not sufficient for reimbursement.**
5. Reimbursement for the final report must be at least 10 percent of the requested administrative budget or \$10,000, whichever amount is greater.

Sample Proposed Budget

The Sample Proposed Budget may be copied or recreated as needed.^{2,3}

(Numbers are provided for illustrative purposes only. Applicant may modify this sample budget to meet their specific needs. This page may also be edited, or deleted if not used)

TASK 1 – PROJECT ADMINISTRATION					
Direct Labor plus Expenses		Grant	Match Funding		
Position/Classification	Hourly rate	CARB	Cash	In-Kind	Total
Program Manager	\$200	\$10,000	\$2,000		\$12,000
Project Manager	\$150	\$45,000	\$15,000		\$60,000
Technician	\$80	\$40,000	\$8,000		\$48,000
Accountant	\$80	\$16,000	\$3,200		\$19,200
Clerical	\$60	\$24,000	\$3,000		\$27,000
Labor Subtotal		\$135,000	\$31,200		\$166,200
Direct Costs (non-labor)					
Travel Costs	N/A	\$20,000		\$20,000	\$40,000
Equipment and Supplies	N/A			\$5,000	\$5,000
Other Direct Costs	N/A	\$5,000	\$5,000	\$5,000	\$15,000
Task 1 subtotal		\$160,000	\$36,200	\$30,000	\$226,200
TASK 2 – TECHNOLOGY DESIGN AND BUILD					
Project Costs ⁴	N/A				
Task 2.1-Purchase orders	N/A		\$80,000	\$20,000	\$100,000
Task 2.2-Parts delivered	N/A	\$2,000,000			\$2,000,000
Task 2.3-Assembly	N/A	\$1,500,000	\$500,000		\$2,000,000
Task 2.4-Test and certify	N/A	\$1,000,000		\$500,000	\$1,500,000
Task 2 subtotal		\$4,500,000	\$580,000	\$520,000	\$5,600,000
TASK 3 – TECHNOLOGY DEMONSTRATION					
Direct Labor					
Project Manager	\$150	\$30,000			\$30,000
Technician	\$80	\$40,000			\$40,000
Labor subtotal		\$70,000			\$70,000
Direct costs-Travel/Supplies		\$50,000			\$50,000
Project Costs					
Task 3.1-Vehicle operation	\$80		\$500,000		\$500,000
Task 3.2-Data collection	N/A	\$200,000	\$100,000		\$300,000
Task 3		\$320,000	\$600,000		\$920,000
Total All		\$4,980,000	\$1,216,200	\$550,000	\$6,746,200
			% of total		
Total Grant Request to		\$4,980,000	74%		
Administration Portion of		\$226,200	4.5%		
Cash Match		\$1,216,200	18%		
In-Kind Match		\$550,000	8%		

² Hourly rates must include direct labor plus overhead and fringe benefits. Any adjustments to hourly rates that may occur over the term of the project must be detailed in the project budget and explained in the application.

³ Provide additional detail, as necessary, to show cost break down by task, subtask, and project partner.

⁴ Example assumes that Task 2 will be invoiced based on completion of work product deliverables.

Sample Project Milestone and Disbursement Schedule

Milestone	Task Description	Project Funding	
		Project Funds	Administrative Funds
1	Conduct Kick-Off Meeting. Task 1.1 ^a	\$0	\$20,000
2	Status updates and quarterly progress reports. Task 1.2 ^a	\$0	\$150,000
...			
7	Execute purchase orders. Completion of Task 2.1 ^b	\$0	\$0
8.1	Part #1 delivered. Completion of Task 2.2.1 ^b	\$500,000	\$0
8.2	Part #2 delivered. Completion of Task 2.2.2 ^b	\$700,000	\$0
...			
9.1	A, B & C assembled. completion of Task 2.3.1 ^b		
9.2	D, E & F assembled. Completion of Task 2.3.2 ^b		
...			
10	Vehicle deployment. Task 3.1	\$0	\$0
11	Data collection. Task 3.2 ^b	\$200,000	\$0
12	Oversight of Tasks 3.1 and 3.2 ^a	\$120,000	\$0
13	Draft Final Project Report: Completion of Task 1.4	\$0	\$0
14	Final Project Report. Completion of Task 1.5 ^b	\$	\$22,620
Subtotal of Project Funds and Administrative Funds		\$	\$
Grant Total Funding Amount		\$	

- a) Indicates that work to be invoiced on a time-and-materials basis but not to exceed the total amount for the specific Milestone.
- b) Indicates that disbursement will include the total dollar amount for that Milestone contingent upon completion of a specific task supported with a deliverable (as detailed in the Project Schedule).

Attachment 5: DISADVANTAGED COMMUNITIES ELIGIBILITY DETERMINATION

The table below is from page Volume 2, Appendix 2.A of the Cap-and-Trade Auction Proceeds Guidelines for Agencies that Administer California Climate Investments December 2015⁴.

Table 2.A-1 Low Carbon Transportation

Projects will achieve GHG reductions through the use of zero and near zero-emission passenger vehicles, buses, trucks, and freight technology.

Potential administering agencies: ARB, CalSTA/CTC, Caltrans / Local Transit Agencies

CRITERIA TO EVALUATE PROJECTS

Agencies can also use criteria in other applicable tables.

When selecting projects for a given investment, give priority to those that maximize benefits to disadvantaged communities (e.g., use scoring criteria that favor projects which provide multiple benefits or the most significant benefits).

Step 1 – Located Within. *Evaluate the project to see if it: meets at least one of the following criteria for being located in a disadvantaged community census tract*; provides direct, meaningful, and assured benefits to a disadvantaged community; and meaningfully addresses an important community need**.*

Project must meet at least one of the following criteria focused on reducing air pollution for disadvantaged community residents:

- A. Project provides incentives for vehicles or equipment to those with a physical address in a disadvantaged community***; or
- B. Project provides incentives for vehicles or equipment that will be domiciled in a disadvantaged community; or
- C. Project provides incentives for vehicles or equipment that reduce air pollution on fixed routes that are primarily within a disadvantaged community (e.g., freight locomotives) or vehicles that serve transit stations or stops in a disadvantaged community (e.g., zero-emission buses); or
- D. Project provides greater mobility and increased access to clean transportation for disadvantaged community residents by placing services in a disadvantaged community, including ride-sharing, car-sharing, or other advanced technology mobility options (e.g., neighborhood electric vehicles, vanpooling, shuttles, smartphone application-based ride-sharing services, bikesharing services).

** For maps of disadvantaged community census tracts, refer to:*

<http://www.calepa.ca.gov/EnvJustice/GHGInvest/>.

*** To determine community needs, agencies or applicants can use a variety of approaches such as: looking at the factors in CalEnviroScreen that caused an area to be defined as a disadvantaged community; hosting community meetings to get local*

⁴ <https://www.arb.ca.gov/cc/capandtrade/auctionproceeds/arb-funding-guidelines-for-ca-climate-investments.pdf>

input; referring to the list of common needs in Table 2-2; or receiving documentation of community support (e.g., letters or emails).

*** “Those with a physical address in a disadvantaged community” may include individuals as well as businesses, public agencies, nonprofits, and other community institutions.

Table 2.A-1 Low Carbon Transportation (continued)

Projects will achieve GHG reductions through the use of zero and near zero-emission passenger vehicles, buses, trucks, and freight technology.

Potential administering agencies: ARB, CalSTA / CTC, Caltrans / Local Transit Agencies

Step 2 – Provides Benefits To. *If the project does not meet the above criteria for “located within,” evaluate the project to see if it: meets at least one of the following criteria for providing direct, meaningful, and assured benefits to a disadvantaged community; and meaningfully addresses an important community need*.*

Project must meet at least one of the following criteria focused on reducing air pollution for disadvantaged community residents:

- A. Project provides incentives for vehicles or equipment to those with a physical address in a ZIP code that contains a disadvantaged community census tract**; or
- B. Project provides incentives for freight vehicles or equipment that primarily serve freight hubs (see Table 3) located in a ZIP code that contains a disadvantaged community census tract, as identified in the list provided below; or
- C. Project provides greater mobility and increased access to clean transportation for disadvantaged community residents by placing services that are accessible by walking within ½ mile of a disadvantaged community, including ride-sharing, car-sharing, or other advanced technology mobility options (e.g., neighborhood electric vehicles, vanpooling, shuttles, bikesharing services).

* To determine community needs, agencies or applicants can use a variety of approaches such as: looking at the factors in CalEnviroScreen that caused an area to be defined as a disadvantaged community; hosting community meetings to get local input; referring to the list of common needs in Table 2-2; or receiving documentation of community support (e.g., letters or emails).

** “Those with a physical address in a disadvantaged community” may include individuals as well as businesses, public agencies, nonprofits, and other community institutions. For maps of disadvantaged community census tracts, refer to:

<http://www.calepa.ca.gov/EnvJustice/GHGInvest/>.

Table 3. “Freight Hubs” located in a ZIP code that contains a disadvantaged community census tract

Seaports:			
• Benicia	• Oakland	• San Diego	• Stockton
• Long Beach	• Hueneme	• San Francisco	• West
• Los Angeles	• Richmond		• Sacramento
Rail Yards - BNSF Railway:			
• Barstow	• Richmond	• Sheila	• Oakland
• Commerce/Eastern	• San Bernardino	• Stockton/	• International
• Fresno	• San Diego	• Mariposa	• Gateway
• Hobart		• Watson	• (OIG)
Rail Yards – Union Pacific Railroad:			
• Colton	• Lathrop	• Intermodal Container	• Los Angeles
• Commerce	• Mira Loma	• Transfer Facility	• Transportation
• City of	• Oakland	• (ICTF)/ Dolores	• Center (LATC)
• Industry	• Railport-Oakland		
• East Los			
• Angeles			
Air Cargo Airports:			
• Burbank	• Long Beach (LGB)	• San Jose (SJC)	• Sacramento
• (BUR)	• Los Angeles (LAX)	• Oakland (OAK)	• Mather (MHR)
• Fresno (FAT)	• Ontario (ONT)	• Sacramento (SMF)	• San Diego (SAN)
• Orange			
• County (SNA)			
Ports of Entry:			
• Calexico	• Otay Mesa		
Distribution Centers and Warehouses:			
A facility that is located in a ZIP code containing a disadvantaged community and that averages more than 100 heavy-duty truck trips per day or is serviced by a direct rail line, which receives, sorts, processes, temporarily stores, and redistributes inventory (products, goods) to retailers, wholesalers, or consumers. This does not include "big box" discount or warehouse retail stores, or storage facilities offered for rent or lease to the public.			

The examples listed below are from Table 2-2 (page 2-14) of Volume 2 of the *Cap-and-Trade Auction Proceeds Guidelines for Agencies that Administer California Climate Investments*, released September 4, 2015 and include illustrative examples of common economic needs of disadvantaged communities (as identified by community advocates).

1. Create quality jobs and increase family income (e.g., targeted hiring for living wage jobs that provide access to health insurance and retirement benefits with long-term job retention, using project labor agreements with targeted hire commitments, community benefit agreements, community workforce agreements, partnerships with community-based workforce development and job training entities, state-certified community conservation corps, etc.).
2. Increase job readiness and career opportunities (e.g., workforce development programs, on-the-job training, and industry-recognized certifications).
3. Revitalize local economies (e.g., increased use of local businesses) and support California based small businesses.
4. Reduce housing costs (e.g., affordable housing).
5. Reduce transportation costs (e.g., free or reduced cost transit passes) and improve access to public transportation (e.g., new services in under-served urban and rural communities).
6. Reduce energy costs (e.g., weatherization, solar, etc.).
7. Improve transit service levels and reliability on systems/routes that have high use by low-income riders.
8. Bring jobs and housing closer together (e.g., affordable housing in transit-oriented development and in healthy, high-opportunity neighborhoods).
9. Preserve community stability and maintain housing affordability for low-income households (e.g., prioritize projects in jurisdictions with anti-displacement policies in place.).

Attachment 6: PROCEDURES FOR HANDLING CONFIDENTIAL INFORMATION

How CARB Handles Confidential Information

CARB prefers that you do not include confidential information (e.g., trade secrets) in your proposal. However, if you find it necessary to include such information, **clearly label it “Confidential”**, and CARB will protect it as confidential information to the degree allowed by CARB regulations on information disclosure in conformance with State law (see Title 17, California Code of Regulations, section 91000, et seq.). CARB will not disclose data identified by an applicant as confidential, except as required by law. However, because of the legal requirements for disclosure of some kinds of information, applicants are advised that CARB cannot provide an absolute guarantee that all material designated as confidential will not be disclosed to the public. Also, the State cannot accept legal liability for such disclosure. If such restrictions are not acceptable to you, **DO NOT INCLUDE CONFIDENTIAL MATERIAL IN YOUR PROPOSAL.**

Confidentiality Provision

The following statement must be signed and returned to CARB with your application if the application includes confidential information that you want to be protected as trade secrets.

* * * * *

The restriction on disclosing this information shall not apply to any information identified by the applicant as confidential that (a) is already known to the public or CARB at the time of disclosure, or (b) is or becomes publicly known through no wrongful or negligent act on the part of the review panel members or CARB.

The applicant further agrees that s/he has read the following confidentiality provision and agrees to its terms and conditions.

It is understood that in the course of carrying out this agreement, CARB may provide Confidential Information to non-CARB reviewers. Each review panel member agrees to use his/her best effort to hold Confidential Information in confidence and shall return it to CARB upon the completion of the agreement.

This obligation shall apply only to Confidential Information that is designated or identified as such in writing by CARB prior to the disclosure thereof. All Confidential Information shall be sent only to the review panel members. Moreover, this obligation shall not apply to any Confidential Information which: (a) is or becomes publicly known through no wrongful or negligent act on the part of the review panel; (b) is already known to the review panel member at the time of disclosure; (c) is independently developed by the review panel member without breach of this agreement; or (d) is generally disclosed to third parties by CARB without similar restrictions on such third parties."

X _____
Applicant's signature

Date

Attachment 7: California Environmental Quality Act Worksheet

This attachment must be submitted as part of the application if the project proposal includes proposed infrastructure installation (e.g., electric vehicle supply equipment or hydrogen refueling station). Additional information regarding this requirement is available in Appendix E.

The California Environmental Quality Act (CEQA) (Public Resources Code §§ 21000 et seq.) requires public agencies to identify the significant environmental impacts of their actions and to avoid or mitigate them, if feasible.⁵ Under CEQA, an activity that may cause either a direct physical change in the environment, or a reasonably foreseeable indirect physical change in the environment is called a “project” (Public Resources Code § 21065). Agency compliance with CEQA may include preparing a Notice of Exemption or conducting an Initial Study and preparing a Negative Declaration, a Mitigated Negative Declaration, or, if there are significant impacts, an Environmental Impact Report.

The Lead Agency is the public agency that has the greatest responsibility for preparing environmental documents under CEQA, and for carrying out, supervising, or approving a project. Where the grant recipient is a public agency, the Lead Agency is typically the recipient. Where the grant recipient is a private entity, the Lead Agency is the public agency that has greatest responsibility for supervising or approving the project as a whole.⁶ When issuing contracts, grants, or loans, the California Air Resources Board (CARB or Board) is typically a “Responsible Agency” under CEQA, which means that it may make its own CEQA findings based on review of the Lead Agency’s environmental documents. If CARB is the only public agency with responsibility for approving the project, then CARB may act as the Lead Agency and prepare its own environmental documents (based on analysis provided by the applicant).

This worksheet will help CARB determine what kind of CEQA review, if any, is necessary, and which agency will be performing that review as a Lead Agency. No project can be selected, nor can any grant be executed, until the Lead Agency has determined that the project is exempt from CEQA requirements, or the CEQA requirements have been satisfied.

⁵ To view frequently asked questions and answers about CEQA, please visit <http://resources.ca.gov/ceqa/more/faq.html>.

⁶ 14 CCR §§ 15050, 15051. The Lead Agency typically has general governmental powers (such as a city or county), rather than a single or limited purpose (such as an air pollution control district).

Please answer all questions in the worksheet below as completely as possible. It may also help you to think through the CEQA process necessary for your proposed project. CARB may request additional information in order to clarify responses provided on this worksheet.

1. What are the physical aspects of the project? (Check all that apply and provide brief description of work, including any size or dimensions of the project).

Project Aspect	Yes	No	Description of Project Aspect
Construction (including grading, paving, etc.)	<input type="checkbox"/>	<input type="checkbox"/>	
Trenching	<input type="checkbox"/>	<input type="checkbox"/>	
New or replaced pipelines	<input type="checkbox"/>	<input type="checkbox"/>	
Construction of underground facilities	<input type="checkbox"/>	<input type="checkbox"/>	
Modification or conversion of a facility	<input type="checkbox"/>	<input type="checkbox"/>	
New or modified operation of a facility or equipment	<input type="checkbox"/>	<input type="checkbox"/>	
On-road demonstration	<input type="checkbox"/>	<input type="checkbox"/>	
Paper study (including analyses on economics, feedstock availability, workforce availability, etc.)	<input type="checkbox"/>	<input type="checkbox"/>	
Laboratory research	<input type="checkbox"/>	<input type="checkbox"/>	
Temporary or mobile structures (skid-mounted)	<input type="checkbox"/>	<input type="checkbox"/>	
Design/Planning	<input type="checkbox"/>	<input type="checkbox"/>	
Other (describe and add pages as necessary)	<input type="checkbox"/>	<input type="checkbox"/>	

2. Where is the project located or where will it be located? (Attach additional sheets as necessary.)

Address	County	Type of Work to Be Completed at Site

3. Will the project potentially have environmental impacts that trigger CEQA review? (Check a box and explain the answer for each question. Additionally, please provide a complete description of any direct physical changes and reasonably foreseeable indirect changes to the environment that may result from the project. Please provide as much detail as possible. You may provide additional information on supplemental pages as necessary.)

Question	Yes	No	Don't Know	Explanation
Is the project site environmentally sensitive?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Is the project site on agricultural land?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Is the land on which the project would be built previously disturbed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Is this project part of a larger project?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Is there public controversy about the proposed project or larger project?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Will historic resources or historic buildings be impacted by the project?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Is the project located on a site the Department of Toxic Substances Control and the Secretary of the Environmental Protection have identified as being affected by hazardous wastes or cleanup problems?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Will the project generate noise or odors in excess of permitted levels?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Will the project increase traffic at the site and by what amount?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Question	Yes	No	Don't Know	Explanation
Is the project expected to result in environmental impacts to any other resource area (e.g., air quality, aesthetics, water quality)? (Add pages as necessary.)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

4. Will the project require discretionary permits or determinations, as listed below?

Type of Permit	No	Modified	New	Approving Agency	Reason for Permit, Summary of Process, and Anticipated Date of Issuance
Air Quality Permit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
Water Quality Permit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
Conditional Use Permit or Variance	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
Building Expansion Permit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
Hazardous Waste Permit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
Rezoning	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
Authority to Construct	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
Other Permits (List types)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		

5. Of the agencies listed in #4, have you identified and contacted the public agency who will be the lead CEQA agency on the project?

☐ **Yes.** Provide the name and contact information for the lead agency.

☐ **No.** Explain why no contact has been made and/or a proposed process for making contact with the lead agency.

- 6. If you identified an agency with discretionary approval authority over the project (see Item 4 above), has as the public agency prepared environmental documents (e.g., Notice of Exemption, Initial Study/Negative Declaration/Mitigated Negative Declaration, Environmental Impact Report, Notice of Determination) under CEQA for the proposed project?**

☐ **Yes.** Please complete the following and attach the CEQA document to this worksheet. (For "Not a project," the title of the document may be an e-mail, resolution, or letter.)

Type of Environmental Review	Title of Environmental Document (Attach the document to this form)	State Clearinghouse Number	Completion Date	Planned Completion Date (<u>must be before approval of grant</u>)
"Not a project" <input type="checkbox"/> Email <input type="checkbox"/> Letter <input type="checkbox"/> Resolution <input type="checkbox"/> Other:		N/A		N/A
Exempt (Resolution of public agency or Agenda Item approving Exemption)		N/A		N/A
Exempt (Notice of Exemption)		N/A		
Initial Study				
Negative Declaration				
Mitigated Negative Declaration				
Notice of Preparation				
Environmental Impact Report				
Master Environmental Impact Report				

Notice of Determination				
NEPA Document (Environmental Assessment, Finding of No Significant Impact, and/or Environmental Impact Statement)				

☐ **No.** Explain why no document has been prepared. Propose a process for obtaining lead agency approval and estimated date for that approval (must occur before ARB will approve the grant).

Certification: I certify to the best of my knowledge that the information contained in this worksheet is true and complete. I further certify that I am authorized to complete and sign this form on behalf of the proposing organization.

Name: _____

Title: _____

Signature: _____

Phone Number: _____

Email: _____

Date: _____

Attachment 8: Letters of Commitment

Include letters of commitment from partners, subcontractors, community groups that are part of the project team, etc., as appropriate to complete the application.

Attachment 9: APPLICANT QUALIFICATIONS

1. Qualifications Narrative: Please provide an attachment describing your experience/expertise developing, implementing, or administering similar demonstration projects and working with vehicle and equipment manufacturers, technology providers, and other stakeholders; identify how this background will enable you to efficiently and effectively implement the Off-Road Advanced Technology Demonstration Project. This narrative should not exceed two pages.
2. Staff Information: Include information for each staff member to be involved in developing, implementing, or administering the Off-Road Advanced Technology Demonstration Project. Clearly identify staff proposed for day-to-day project implementation. Attach résumés.

Name:	Hourly rate:
Phone:	Email:
Title:	
Expected duties:	
Name:	Hourly rate:
Phone:	Email:
Title:	
Expected duties:	
Name:	Hourly rate:
Phone:	Email:
Title:	
Expected duties:	

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3. Subcontractor Information: Applicants may partner with other entities. Responsibility for deliverables lies with the primary applicant, and the grant will be awarded only to the primary applicant. Provide the names and information for any and all subcontractors and partners. Attach qualification narratives, résumés, and letters of commitment for individuals listed below. Each letter of commitment must describe the nature of the partner's contribution to the project.

Name:	Hourly rate:
Phone:	Email:
Title:	
Expected duties:	
Name:	Hourly rate:
Phone:	Email:
Title:	
Expected duties:	
Name:	Hourly rate:
Phone:	Email:
Title:	
Expected duties:	

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Attachment 10: CONFLICT OF INTEREST DECLARATION

All applicants must disclose any Conflict of Interest with their ability to fulfill the duties of the Off-Road Advanced Technology Demonstration Program Grantee. Summarize your organization's or any subcontractor's (as identified in Attachment 9 of this application) current, ongoing, or pending direct or indirect interest, which poses an actual, apparent, or potential conflict of interest with your ability to fulfill the duties of the Grantee. These may include but are not limited to financial arrangements with or interest in zero- or near zero-emission technology providers, vehicle manufacturers, or related organizations. CARB may consider the nature and extent of any potential or apparent conflict of interest in evaluating, considering, or scoring the application and may disqualify the applicant at CARB's sole discretion.

Attachment 11: STD. 204 PAYEE DATA RECORD

Please fill out and submit as a part of this application the STD. 204 Payee Data Record:

http://www.dhcs.ca.gov/services/Documents/DHCS_STD.204.pdf

This form is required, even if the applicant is a governmental entity. Applications that do not include this completed form will not be scored.